



UTILITY PATENT APPLICATION AND FEE TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. CHEN0131

Date: June 19, 2000

Inventor(s): James C. Chen and Darrin Huston

Title FLEXIBLE SUBSTRATE MOUNTED SOLID-STATE LIGHT SOURCES FOR EXTERIOR
 VEHICULAR LIGHTING

FULL NAME OF FIRST NAMED INVENTOR: James C. Chen COUNTRY OF CITIZENSHIP: U.S.

RESIDENCE ADDRESS OF INVENTOR: 2011 - 87th Place N.E., Bellevue, WA 98004

FULL NAME OF SECOND NAMED INVENTOR: Darrin Huston COUNTRY OF CITIZENSHIP: U.S.

RESIDENCE ADDRESS OF INVENTOR: 37330 - 246th Avenue S.E., Enumclaw, WA 98022

APPLICATION ELEMENTS

ADDRESS TO: Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal (BELOW)2. ☒ Specification [Total Pages 17]3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5] [FORMAL]4. ☒ Oath or Declaration [Total Pages 2]a. ☒ Newly executed (original or copy)b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Item 5 below]

ii. DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§
 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4b is check)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the
 disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)a. ☐ Computer Readable Copy b. ☐ Paper Copy (identical to computer copy) c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))9. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) _____ Power of Attorney10. ☐ English Translation Document (if applicable)11. ☐ Information Disclosure Statement (IDS)/PTO-1449 _____ Copies of IDS Citations12. ☐ Preliminary Amendment13. ☒ Return Receipt Postcard (MPEP 503) (Should be itemized specifically)14. ☒ *Small Entity Statement(s) _____ Statement filed in prior application (PTO/SB/09-12) _____ Status still proper and desired

*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)16. ☐ Other: _____

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation _____ Divisional _____ Continuation-in-part (CIP) _____ of prior application No: _____ / _____

Prior application information: Examiner: _____ Group / Art Unit: _____

18. CORRESPONDENCE ADDRESS

Correspondence address below:

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Telephone: 425-688-8816

Facsimile: 425-646-6314

jc821 U.S. PTO

09/597931



FEE TRANSMITTAL

| METHOD OF PAYMENT (check one) | | FEE CALCULATION (continued) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|----------------|---|----------------|--------------------|----------------------------|---|-------|--|--------|---|--------------------------|--|--------|---|---------------|--|--|------------------|--|--|--|--------------------------|--|---|--|----------------------------------|--|------------------------------------|--|--------------------------------|--|------------------|--|-----------------|--|-------------------------------|--|---|--|--|--|--|----|---|--|--|--|---------------------|--|---------------------|--------------|
| 1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number <u>01-1940</u> Deposit Account Name: <u>Law Offices of Ronald M. Anderson</u> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 & 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance 2. <input checked="" type="checkbox"/> Payment Enclosed: <u>4521</u> Money Order <input type="checkbox"/> Other <input type="checkbox"/> <input type="checkbox"/> Payment NOT Enclosed: | | 3. ADDITIONAL FEES (Continued) <table border="1"> <thead> <tr> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>Extension for reply within first month</td><td></td></tr> <tr><td>Extension for reply within second month</td><td></td></tr> <tr><td>Extension for reply within third month</td><td></td></tr> <tr><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>Notice of Appeal</td><td></td></tr> <tr><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>Request for oral hearing</td><td></td></tr> <tr><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>Design issue fee</td><td></td></tr> <tr><td>Plant issue fee</td><td></td></tr> <tr><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>Recording each patent assignment per property (times number of properties)</td><td>40</td></tr> <tr><td>Submission after final rejection (37 C.F.R. 1.129(a))</td><td></td></tr> <tr><td>Add'l invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>Other fee (specify)</td><td></td></tr> <tr> <td>SUBTOTAL (3)</td> <td>\$ 40</td> </tr> </tbody> </table> | | Fee Description | Fee Paid | Requesting publication of SIR after Examiner action | | Extension for reply within first month | | Extension for reply within second month | | Extension for reply within third month | | Extension for reply within fourth month | | Extension for reply within fifth month | | Notice of Appeal | | Filing a brief in support of an appeal | | Request for oral hearing | | Petition to institute a public use proceeding | | Petition to revive - unavoidable | | Petition to revive - unintentional | | Utility issue fee (or reissue) | | Design issue fee | | Plant issue fee | | Petitions to the Commissioner | | Petitions related to provisional applications | | Submission of Information Disclosure Statement | | Recording each patent assignment per property (times number of properties) | 40 | Submission after final rejection (37 C.F.R. 1.129(a)) | | Add'l invention to be examined (37 CFR 1.129(b)) | | Other fee (specify) | | SUBTOTAL (3) | \$ 40 |
| Fee Description | Fee Paid | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Requesting publication of SIR after Examiner action | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Extension for reply within first month | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Extension for reply within second month | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Extension for reply within third month | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Extension for reply within fourth month | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Extension for reply within fifth month | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Notice of Appeal | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Filing a brief in support of an appeal | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Request for oral hearing | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Petition to institute a public use proceeding | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Petition to revive - unavoidable | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Petition to revive - unintentional | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Utility issue fee (or reissue) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Design issue fee | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Plant issue fee | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Petitions to the Commissioner | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Petitions related to provisional applications | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Submission of Information Disclosure Statement | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Recording each patent assignment per property (times number of properties) | 40 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Submission after final rejection (37 C.F.R. 1.129(a)) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Add'l invention to be examined (37 CFR 1.129(b)) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other fee (specify) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SUBTOTAL (3) | \$ 40 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| FEE CALCULATION 1. BASIC FILING FEE <table border="1"> <thead> <tr> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>Utility filing fee</td><td>\$ 345</td></tr> <tr><td>Design filing fee</td><td>\$</td></tr> <tr><td>Plant filing fee</td><td>\$</td></tr> <tr><td>Reissue filing fee</td><td>\$</td></tr> <tr><td>Provisional filing fee</td><td>\$</td></tr> <tr> <td>SUBTOTAL (1)</td> <td>\$ 345</td> </tr> </tbody> </table> | | Fee Description | Fee Paid | Utility filing fee | \$ 345 | Design filing fee | \$ | Plant filing fee | \$ | Reissue filing fee | \$ | Provisional filing fee | \$ | SUBTOTAL (1) | \$ 345 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Fee Description | Fee Paid | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Utility filing fee | \$ 345 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Design filing fee | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Plant filing fee | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Reissue filing fee | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Provisional filing fee | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SUBTOTAL (1) | \$ 345 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. EXTRA CLAIM FEES <table border="1"> <thead> <tr> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims 24 - 20 = 4 x</td> <td>\$9 =</td> <td>\$ 36</td> </tr> <tr> <td>Independent Claims 3 - 3 = -0- x</td> <td>\$78 =</td> <td>\$ -0-</td> </tr> <tr> <td>Multiple Dependent -0- x</td> <td>\$130 =</td> <td>\$ -0-</td> </tr> <tr> <td>SUBTOTAL (2)</td> <td></td> <td>\$ 36</td> </tr> </tbody> </table> | | Extra Claims | Fee from below | Fee Paid | Total Claims 24 - 20 = 4 x | \$9 = | \$ 36 | Independent Claims 3 - 3 = -0- x | \$78 = | \$ -0- | Multiple Dependent -0- x | \$130 = | \$ -0- | SUBTOTAL (2) | | \$ 36 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Extra Claims | Fee from below | Fee Paid | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Claims 24 - 20 = 4 x | \$9 = | \$ 36 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Independent Claims 3 - 3 = -0- x | \$78 = | \$ -0- | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Multiple Dependent -0- x | \$130 = | \$ -0- | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SUBTOTAL (2) | | \$ 36 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| FEES (SUBTOTALS (1) & (2)) | | \$ 381 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3. ADDITIONAL FEES Surcharge - late filing fee or oath Surcharge - late provisional filing fee or cover sheet Non-English specification Request for reexamination Requesting publication of SIR after Examiner action | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL FEES ENCLOSED: \$ 421 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Typed/Printed Name

Ronald M. Anderson

Registration Number: 28,829

Signature

Date: June 19, 2000

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL542941207US

Date of Deposit: June 19, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Kathy L. Harris

(Name of person mailing paper/fee)

(Signature of person mailing paper or fee)